

# 12 reg for Refund

9/25/03

# FAX TRANSMITTAL COVER SHEET

**CONLEY ROSE, P.C.**  
**600 Travis, Suite 7100**  
**Houston, Texas 77002**  
Fax Number: (713) 238-8008  
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| <input type="checkbox"/>            | HAND DELIVERY         |
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NAME: **Latrice Simms**  
FIRM: **U.S. PATENT & TRADEMARK OFFICE**  
CITY: **WASHINGTON, D.C.**

FAX NO: **703-308-5077**

REMARKS: Attached is a copy of the Request for Refund and Small Entity Statement.

Total Number of Pages (Including This One): **5**

FROM: Sandra K. Begley Legal Secretary, Direct Dial No. 713-632-1675

DATE: September 18, 2003

CLIENT/MATTER NO. 2219-00100

IF YOU DO NOT RECEIVE ALL THE PAGES, PLEASE CALL BACK AS SOON AS POSSIBLE.

Attorney's Docket No.: 2219-00100

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re Application of: Theodore W. Reinhold

Serial No.: 09/786,494

Filed: March 5, 2001

For: Garden Refuse Shredding Apparatus

Group No.: 3725

Examiner: Mark Rosenbaum

☐ Patent No.:

Issued:

NOTE: Insert name(s) of inventor(s) and title also for patent. Where the refund request is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.

Assistant Commissioner for Patents

Washington, D.C. 20231

ATTENTION: Refund Section, Accounting Division, Office of Finance

## REQUEST FOR REFUND

(37 C.F.R. 1.28(a))

## I. SUBMISSION OF VERIFIED STATEMENT

(complete (a) or (b))

- (a) ☒ Attached is a verified statement claiming small entity status in this application.  
(b) ☐ A verified statement claiming small entity status was filed in this application on \_\_\_\_.

## II. REFUND REQUEST

This request for refund is made within two months of the date a fee was paid in this application on September 3, 2003, in the amount of \$110.00. *small entity is \$55.00*

NOTE: The two-month period (§ 1.28(a)) is not included in the provisions for extension under 37 C.F.R. 1.136 because it is not a period for response. Notice of November 30, 1983, 49 FR 548, January 4, 1984.

## CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

## MAILING

☐ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

## FACSIMILE

☒ transmitted by facsimile to the Patent and Trademark Office.

Date: September 18, 2003

Signature

Sandra K. Begley  
(type or print name of person certifying)

## III. FEES PAID FOR WHICH REFUND REQUESTED

<input type="checkbox"/>	Filing Fee	\$ _____
<input type="checkbox"/>	Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 CFR 1.16(e) or 37 CFR 1.16(1)).	\$ _____
and/or		
<input type="checkbox"/>	Surcharge for filing the oath or declaration on a date later than the filing date of the application (37 CFR 1.16(e))	\$ _____
<input checked="" type="checkbox"/>	Extension of term	\$ <u>110.0</u>
<input type="checkbox"/>	Issue Fee	\$ _____
<input type="checkbox"/>	Patent Maintenance Fee	
<input type="checkbox"/>	first maintenance fee	\$ _____
<input type="checkbox"/>	second maintenance fee	\$ _____
<input type="checkbox"/>	third maintenance fee	\$ _____
<input type="checkbox"/>	Patent maintenance fee surcharge.	\$ _____


NOTE: The refund provisions of § 1.28(a), for later submitted small entity statements, apply to maintenance fees. Notice of July 30, 1984, 1046 O.G. 28-37.

<input type="checkbox"/>	Other	\$ _____
TOTAL REFUND REQUESTED		\$ <u>55.00</u>

## III. MANNER OF REFUND

Please make refund by

- ☒ crediting Account No. 03-2769
- ☐ refunding overpayment.

  
SIGNATURE OF ATTORNEY  
Marcella D. Watkins  
Reg. No. 36,962  
CONLEY ROSE, P.C.  
P.O. Box 3267  
Houston, Texas 77253-3267  
Phone: (713) 238-8000  
Fax: (713) 238-8008

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GREENFIELD PRODUCTS

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Attorney Docket 2219-00100

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: THEODORE W. REINHOLD  
 SERIAL NO: 09/786494 EXAMINER: MARK ROSENBAUM  
 FILED: March 5, 2001 GROUP NO:  
 FOR (TITLE): GARDEN REFUSE SHREDDING APPARATUS

## VERIFIED STATEMENT AS SMALL ENTITY

Hon. Commissioner of Patents and Trademarks  
 Washington, D.C. 20231

SIR:

The undersigned declare(s):

Exclusive rights in the above-identified invention reside in the "small entity" defined and named below, and "small entity" fees are appropriate. Qualification as a small entity is based upon the following:

☐ INDEPENDENT INVENTOR

As independent inventor is any inventor who:

- 1) has not assigned, granted, conveyed, or licensed, and
- 2) is under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a non-profit organization as defined in Rule 1.9.

☒ SMALL BUSINESS CONCERN

A small business concern is defined as a business concern:

- 1) whose number of employees, including those of its affiliates, does not exceed 500 persons, and
- 2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization as defined in Rule 1.9. Concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

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☐ **NONPROFIT ORGANIZATION** (Check additional applicable box)  
A nonprofit organization is defined as:

- ☐ 1) a university or other institution of higher education in any country; or
- ☐ 2) a organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); or
- ☐ 3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of the United States (35 U.S.C. 201 (1)); or
- ☐ 4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (c)(2) or (3) of Rule 1.9 if it were located in the United States.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

BARTLEM FTY LTD  
(Print or type name of small entity)

  
(Signature and title of person authorized to act on behalf of small entity)

4/9/03  
(Date)

Theodore W. Reinhold (Director)  
(Address)

172 Ingram Road, Anacle Ridge, Brisbane, Queensland 4110, Australia

\* If "small entity" is more than one inventor or a combination of "small entities", add name(s), address(es) and signature(s) of other parties below. Please include date.

Full Name of Second Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Third Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Fourth Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

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